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APPLIED
COMPONENT
Introduction to Capital Markets
100 Marks – 75 Lectures

Unit :1 .Introduction to Indian Securities Markets (5 Marks-5 Lectures)
Meaning of securities, structure of securities markets and role of its participants, role of securities markets as allocators of capital

Unit :2. Securities: Types, Features and Concepts (25 Marks-20 Lectures)
Difference between equity and debt securities, features of equity capital, features of debt capital, factors that influence the choice between equity and debt capital for issuers, various aspects of investing in equity, concepts and elements of financial analysis and valuation, commonly used terms in equity investing, risk and return from investing in equity, basic features of debt instrument, types and structure of debt instruments, concepts and terms relating to debt securities, benefits and risks of investing in debt securities, factors that influence the choice between equity and debt for investors, concepts of hybrid instruments and their features

Unit:3. Primary Markets (25 Marks-20 Lectures)
Nature and functions of the primary market, difference between various types of public issues, categories of issuers in the primary markets, regulatory framework for primary markets, types of investors in the primary markets, types of public issues of equity shares, pricing process in a public issue of shares, public issue process, features of a prospectus, process of applying to a public issue, ASBA(Application supported by blocked amount). private placement process in equity and debt , Merchant Banking – Meaning, nature and functions; merchant banking in India, role in issue management; classification and regulation of merchant bankers by SEBI .

Unit :4. Secondary Markets (25 Marks-15 Lectures)
Role and functions of the secondary markets , market structure and participants in the secondary markets , role of brokers and processes for client acquisition, process of trade execution in the secondary market, process of trade settlement, sources of market information , risk management systems for secondary markets, rights, obligations and grievance redressal mechanism for investors in secondary markets .

Unit :5. Derivatives Markets (20 Marks-15 Lectures)
Derivative products, key concepts with regard to derivatives, types of derivative products and their features, structure of the derivative markets, trading and settlement of derivatives, regulatory and risk management process for derivatives, use of derivatives in speculation, hedging and risk management, costs, benefits and risks of

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derivatives, key derivative market indicators

Books for Study and Reference:

- 1 How to make money in Stock Exchange, by William O'Neill – Liberated Stock Traders**
- 2 Technical analysis explained, by Martin J. Pring - Liberated Stock Traders**
- 3 Full of Bull: Do what wall street does, not what it says to make money in the markets, by Stephan T. Depth McClellan - Liberated Stock Traders**
- 4 Stock Market Book on investment.**
- 5 Capital Market in India, by Rajesh Chakrabarti & Shanker De**
- 6 Indian Stock Market P/E Ratios a Scientific Guide to Investors and Policymakers, by L. C. Gupta, P. K. Jain, C. P. Gupta, publication of Society for capital Market Research and Development, Delhi**
- 7 Fundamentals of Financial Management, by D. Chandra Bose, Prentice, Hall of India PVT. LTD., Delhi.**
- 8 Fundamentals of Financial Management Third Edition, by Prasanna Chandra Publication Tata McGraw-Hill Publishing Company LTD.**

Note: Such more books may be added by teachers.

